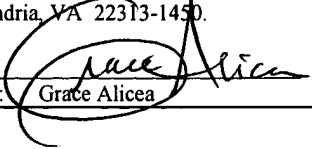


EXPRESS MAIL CERTIFICATE

I hereby certify that this correspondence is being deposited with the U.S. Postal Service "Express Mail Post Office to Addressee" service under 37 CFR § 1.10 on the date indicated below and is addressed to Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

Date: February 19, 2004

Gerard M. DEARING, et al.

Serial No.: To Be Assigned

Group Art Unit: To Be Assigned

Filed: Herewith

Examiner: To Be Assigned

For: PERFORMANCE OPTIMIZATION FOR DATA SHARING ACROSS BATCH
SEQUENTIAL PROCESSES AND ON-LINE TRANSACTION PROCESSES

Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE
STATEMENT UNDER 37 C.F.R. §1.97

Sir:

Pursuant to 37 C.F.R. §1.97 and §1.98, Applicants submit for consideration in the above-identified application the documents listed on the attached Form PTO-1449. The Examiner is requested to make these documents of record. This Information Disclosure Statement is being submitted:

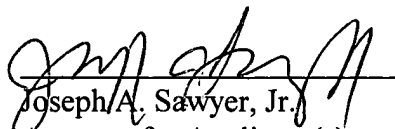
- ☐ With copies.
- ☐ Without copies. Copies of the documents were previously submitted in an Information Disclosure Statement and/or Office Action, directed to the related application Serial No. **, filed **. This protocol conforms with 37 C.F.R. §1.98(d) and M.P.E.P. 609 (A)(2).
- ☒ This Information Disclosure Statement is being submitted with only copies of non-U.S. patent publication(s) and non-patent literature. This protocol conforms with 37 CFR 1.98(a)(2)(i), which waives the requirement for submitting a copy of each cited U.S. Patent and each U.S. patent application publication for all U.S. national patent applications filed after June 30, 2003.

- ☐ The documents listed on the attached Form PTO-1449 were cited in a Search Report directed to a counterpart international or foreign application.
- ☒ With the application; accordingly, no fee or separate requirements are required.
- ☐ Within three months of the application filing date, or before mailing of a first Office Action on the merits.
- ☐ Before the mailing of a first Office action after the filing of a request for continued examination under §1.114.
- ☐ After receipt of a first Office Action on the merits, but before the mailing date of a Final Office Action under §1.113, or a Notice of Allowance §1.311. Accompanied by one of:
- ☐ Certification under 37 CFR §1.97(e); **or**
- ☐ The fee set forth in §1.17(p)
- ☐ After mailing of a final Office Action or Notice of Allowance, but on or before payment of the issue fee. Accompanied by:
- ☐ Certification under 37 CFR §1.97(e); **and**
- ☐ The fee set forth in §1.17(p)
- ☐ A Certification under 37 C.F.R. §1.97(e) is provided below:
- ☐ I hereby certify that each item of information was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.
- or-
- ☐ I hereby certify that no item of information was cited in a communication from a foreign patent office in a counterpart foreign application or, to the best of my knowledge after making a reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

Applicants would appreciate the Examiner initialing and returning the Form PTO-1449, indicating that the information has been considered and made of record herein. If any unresolved issues remain, please contact Applicant's attorney at the telephone number indicated below.

Respectfully submitted,

February 19, 2004
Date


Joseph A. Sawyer, Jr.
Attorney for Applicant(s)
Reg. No. 30,801
(650) 493-4540

FORM PTO-1449 (Modified) LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)	ATTY. DOCKET NO. SA9-98-174-D/1215D	SERIAL NO. To Be Assigned
	APPLICANT: Gerard M. DEARING, et al.	
	FILING DATE: Herewith	GROUP: To Be Assigned

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

EXAMINER INITIALS		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPRO.)
		5,557,792	09-17-1996	Josten et al.			
		5,115,392	05-19-1992	Takamoto et al.			
		5,109,512	04-28-1992	Bahr et al.			

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

		Ryoji Kataoka, et al., "A Multiversion Concurrency Control Algorithm for Concurrent Execution of Partial Update and Bulk Retrieval Transactions", IEEE 1991, Japan, pp. 130-136
		IBM Technical Disclosure Bulletin, "Lock Management Architecture", October 1988, volume number 31, issue number 5, pp 125-128

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.